



REPLY TO  
ATTENTION OF

DAMO-FMP

**DEPARTMENT OF THE ARMY**  
OFFICE OF THE DEPUTY CHIEF OF STAFF, G-3/5/7  
400 ARMY PENTAGON  
WASHINGTON, DC 20310-0400

15 October 2004

MEMORANDUM FOR SEE DISTRIBUTION

SUBJECT: Concept Plan Guidance

1. References:

a. AR 71-32, Force Development and Documentation – Consolidated Policies, dated 3 March 1997.

b. AR 570-4, Manpower Management, dated 15 May 2000.

2. The purpose of this memorandum is to provide guidelines and procedures for submitting a concept plan to Headquarters, Department of the Army (HQDA). It supplements Army Regulation (AR) 71-32 and replaces the HQDA G-3 Concept Plan Guidance, dated 26 SEP 02. This memorandum outlines Army Force Management policy for concept plans, thresholds for concept plan submission, HQDA/ARSTAF responsibilities, guidelines, and other detailed instructions that ultimately impact the requirements approval process, and the way ahead for centralized documentation of Generating Force units.

3. The enclosures provide detailed implementation procedures and concept plan preparation information. The Army G-3 POC is Mr. Michael J. Bush, DSN: 222-8190, CML: (703) 692-8190, or e-mail: michael.bush2@hqda.army.mil.

2 Encls

Annex A: Concept Plan Guidance

Annex B: Concept Plan Preparation

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## ANNEX A: General Concept Plan Guidance

### 1. Overview:

a. As defined by Army Regulation 71-32, a concept plan is a detailed proposal to create or change one or more units when the level of change reaches a specified threshold. The purpose of a concept plan is to ensure that resources are used to support Army objectives and priorities, ensure full understanding of the change, enable auditing of resource realignments, ensure supportability, and satisfy a variety of Army Staff (ARSTAF) functional interests related to how the organization plans to implement the proposed change. The concept plan will be used to request approval of organizational structure, manpower, and equipment requirements.

b. An organization's concept plan must align with Army goals and policy without building duplicate structure, and be an improvement to a required capability to warrant creating a new unit/organization, or restructuring an existing one. The concept plan must demonstrate a measurable efficiency, improved capability, or the need for a new requirement. Some examples of what a plan should demonstrate are, resources required to perform an on-going mission, workloads absorbed within current resources, or improved command and control.

c. Although a concept plan focuses on requirements, resourcing should be addressed, if known. The Army G-3 or the VCSA is the approval authority of military requirements and authorizations. Military authorizations generally compete in the Total Army Analysis process for resourcing. However for high priority missions, the Army G-3 or VCSA may direct a military manpower resourcing strategy to implement the concept plan. The Army G-3 or VCSA is the approval authority for civilian manpower requirements. Civilian authorizations must compete in the Program Objective Memorandum (POM) process for resources. The outcome from the successful submission and approval of a proposed concept plan is the establishment of the organization/unit personnel and equipment requirements and positioning the organization/unit to compete for resourcing against the Army priorities.

### 2. Thresholds:

a. There are different threshold events that require the submission of a concept plan based upon AR 71-32 and current G-37/FMP guidance. The Operational Army has a systematic, disciplined methodology to organizational design based on the Force Design Update (FDU) process. The FDU process determines Army doctrinal, organizational, training, material, leadership and education, personnel and facility (DOTMLPF) requirements and then translates them into programs and structure. The



FDU process performs essentially the same function as a concept plan. The Generating Forces or TDA Army with the implementation of Centralized Documentation (CENDOC) is in the beginning stages of a systematic approach to organizational design. Until TDA CENDOC matures the concept plan process remains central to the TDA requirements generation process. In the future, full implementation of TDA CENDOC, HQDA approved models, and TDA standardization will negate the necessity for a concept plan except when crossing specific thresholds or as an exception to policy.

b. Army Regulation 71-32 outlines the following threshold events that trigger the submission of a concept plan to G-3/DAMO-FMP.

(1) Introduction of a new unprogrammed MTOE/TDA organization into the Army force structure. A concept plan is not required to introduce a new MTOE unit into the Army force structure, if it is approved during Total Army Analysis and the MTOE organization is developed from an approved TOE or part of the Force Design Update approval process.

(2) A deviation from MTOE or TDA organizational structure, standardization, stabilization policies and guidance from AR 71-32.

(3) A change in MTOE unit ALO without prior HQDA approval.

(4) Creation of a new MTOE unit based upon new or changed doctrine.

(5) A change to a TDA organization's mission or functions that will involve placing increased demands on HQDA for personnel, equipment, funds, and facilities.

(6) Reorganization of a TDA unit at or above directorate level.

(7) Establishment or reorganization of an Army Management Headquarters Account.

(8) Movement of a mission, function, or unit from one MACOM to another, if reorganization is involved.

c. As centralized documentation (CENDOC) is implemented and Total Army Analysis continues to review Generating Force or TDA requirements HQDA is attempting to provide additional oversight of the TDA requirements determination process. Each new mission and each new manpower requirement must be carefully evaluated and justified as total Army requirements exceed current available manpower.

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Therefore, the following thresholds are added.

- (1) Growth of any new military requirements [space/position].
  - (2) Growth of ten or more new civilian requirements [space/position] per Unit Identification Code (UIC).
  - (3) Total Army Analysis providing resources for a new or existing TDA or augmentation TDA organization.
  - (4) Requests for additional Paid Parachute requirements and authorizations that exceed a MACOM's ceiling.
- d. Growth of nine or less new civilian requirements per UIC are approved at the MACOM level and will be reviewed by the Army G-3 as part of the Command Plan process. Overall MACOM civilian requirement growth for a given FY must not exceed 3%. MACOMs may also eliminate requirements during their Command Plan submission.
- e. AR 570-4, Chapter 10, provides procedures for obtaining HQDA approval and streamlining the approval of document changes. This process is to continue with the policy proponent offices and USAFMSA with results coordinated with G-3/(DAMO-FMP).
- f. The following MACOM manpower reprogramming actions do not require the submission of a concept plan (but must adhere to HQDA guidance governing controlled programs):
- (1) The reprogramming of military or civilian authorizations within the same UIC or from one UIC into existing requirements of another UIC.
  - (2) The realignment of existing military or civilian requirements and their associated authorizations from within the same UIC or from one UIC to another (changes to AMSCO/MDEP/CTYPE/REIMS/REIMC are not permitted). The Schedule 8 issues capturing this realignment must net to zero and the gaining UIC may not exceed its requirements by 10% of the aggregate. These changes will be reviewed by DAMO-FMP to insure the realignment supports the stated objective of the change.
  - (3) Increases in requirements to support HQDA guidance or regulation (i.e., EO Advisors, etc.).
  - (4) Changes to Joint or Defense Manpower.



g. If more than one organization is affected by a proposed change, a single integrated concept plan will be submitted by the gaining command.

h. Movement of a mission, function, or unit from one MACOM to another does not require a concept plan if there is no reorganization of either unit involved. The Army G-3 (DAMO-FMP), as the approving authority for Schedule 8's in the Command Plan/POM process, does require a copy of the memorandum (MOA or MOU) signed by the losing and gaining command at the time of Schedule 8 submission.

i. Changes in standards of grade and/or NOFC do not require a concept plan. Requests for increases in military field grade structure or senior NCO grade structure to memorandum requesting approval of the change to the Army G-3/DAMO-FMP.

j. Changes to requirements for Controlled Programs, Senior Executive Service (SES), Army Management Headquarters Activity (AMHA), Defense Health Program (DHP), National Foreign Intelligence Program (NFIP), General Officer (GO), Title XI, Training Support XXI, Special Operations Forces (SOF), or Counter Drug programs) only require submission of a concept plan when one of the thresholds above is met. MACOM must gain proponent approval for changes to authorizations for controlled programs. The impact on controlled programs must be specifically addressed within the concept plan submission.

### 3. Staffing of Concept Plans

a. All concept plans will be submitted to G-37/DAMO-FMP for ARSTAF/MACOM staffing. The G-37/DAMO-FMP's force structure command managers are responsible for staffing and coordination of issues concerning the concept plan. Before concept plans are circulated for ARSTAF/MACOM staffing, all concept plans will be evaluated by G-37/DAMO-FMP for compliance with AR 71-32 and this policy memorandum. Concept plan information and data must be at a level of detail sufficient to permit analysis of the proposed organization and its manpower and equipment requirements. Critical to the review is the manpower review process that validates workload and the organization (TDA) crosswalk that tracks positions on the current TDA and to the proposed organization. This permits an accurate review of military and civilian grades and corresponding skill sets. It also permits the review of the manpower resourcing strategy by tracing billpayers, identifying shortfalls and compliance with standards of grade and manpower policies. If information is deficient the concept plan will be returned to the MACOM.

b. Since each concept plan is unique and is functionally oriented, G-37/DAMO-FMP command managers will determine which particular MACOM and ARSTAF offices need to review the concept plan. At a minimum, concept plans will be staffed with the



following organizations: appropriate Program Evaluation Groups (Training, Manning, Equipping, Sustaining, Installations and Organizing), ASA M&RA, ASA FM&C, G-1-PRP, G-37/FMF, G4-PLS, G-8-PAE, US Army Manpower Analysis Agency (USAMAA), US Army Force Management Support Agency (USAFMSA), US Army Center of Military History, G-37/FMP PBG Command Managers, and the appropriate HQDA Generating Force Panels. Within their functional areas of expertise the ARSTAF elements are expected to evaluate the concept plan based on the mission, function, organization, workload, capability, and proposed manpower and equipment requirements and resourcing.

c. HQDA/ARSTAF Responsibilities:

- G-1: Functional proponent for review of military and civilian manpower requirements and authorizations. The Army G-3/DAMO-FMP will submit all concept plans to DAPE-PRP-OA as the central point of contact for G-1. Responsible for coordination with the Manning PEG. Also responsible for Army Management Headquarters Account (AMHA) control and review.
- G-2: Functional proponent for issues involving intelligence organization and operations to include army language skill programs.
- G-3 (G-33/OD): Functional proponent for issues involving readiness, current operations and mobilization operations.
- G-3 (G-37/TR): Functional proponent for issues involving institutional training, unit training, civilian and military leader development and civilian training implications. Responsible for coordination with the Training PEG.
- G-3 (G-35/SS): Functional proponent for oversight of strategic concepts, policy and planning implications.
- G-4: Functional proponent for issues involving sustaining operations, equipment, and materiel readiness. Responsible for coordination with the Sustaining PEG.
- G-6: Functional proponent for the strategic direction, objectives and oversight of all Army C4 and Information Technology functions.
- G-8/PAE: Functional proponents to access, integrate, and synchronize The Army Program over the POM.
- G-8/FD: Functional proponent that provides equipment resource implications and impacts. Responsible for coordination with the Equipping PEG.
- OTJAG: Responsible for reviewing concept plans for compliance with current legislation, relevant title and public/military law.
- ASA FM&C: Functional proponent that provides budgetary assessments and impacts of implementing future Army budgets.
- ASA M&RA: Provides oversight of manpower, personnel, training, mobilization, force management, Army organization and force structure functions for all components of the Army. Responsible for coordination with the Organizing PEG.



- ACSIM: Provide policy guidance and program management on all matters relating to overall management and resourcing of Army installations worldwide. Review the availability of efficient, effective base services and facilities. Responsible for coordination with the Installation PEG.
- USAMAA: Provides strategic level analyses of major programs and initiatives, and utilizes models, performance metrics, and on-site analysis to determine requirements based on validated missions.
- USAFMSA: Responsible for managing the Army's documentation processes to include compliance with AR 570-4. Review will focus on transitioning from the current approved document to the new proposed TAADS document.
- DAMH-FPO: Responsible for approving official unit designations and coordinating with USAFMSA for documentation in SAMAS and ASORTS.

#### 4. Approval Process.

a. Each staff section will have two weeks to review the concept plan and then return it to G-37/DAMO-FMP with a concurrence, a concurrence with comment, or a non-concurrence. If a staff section has issues that require additional time to resolve then an additional two weeks may be permitted for issue resolution. Concept plans will not be permitted to languish. The G-37/(DAMO-FMP) will attempt to resolve all issues or non-concurrences prior to sending forward a concept plan to the leadership for decision. If this reconciliation is not possible then G-37/(DAMO-FMP) will outline the MACOM's or ARSTAF's position and send the concept plan forward for decision. The approval authority of the concept plan will depend on the complexity and nature of the concept plan. The minimum approval level is Director, Force Management. For concept plans with wide-ranging implications or changes, or senior leader interest, the Army G-3 or the VCSA will be the approval authority.

b. Once the concept plan is approved G-37/(DAMO-FMP) will send a concept plan approval memorandum to the appropriate MACOM to implement the concept plan. The G-37/FMP will provide an information copy to ASA M&RA, the appropriate PEG and Generating Force panel, and USAFMSA for situational awareness. HQDA approval is the authority to implement the proposal, compete for resourcing, if required, publish the TAADS document and obtain permanent orders.

#### 5. Guidelines.

a. Concept plans may be submitted at any time; however to have an impact during the next budget cycle, which is the key to resourcing the concept plan, the concept plan must be approved by 15 December. Concept plans usually require 30-90 days from the time they are received at HQDA until a decision is reached depending on their complexity. Therefore concept plans should be received by G-37/DAMO-FMP by



15 September to impact the resourcing cycle that begins in the December timeframe of each year. Civilian requirements must compete in the POM and budget process for resources as the ArmyG-3 can only approve civilian requirements, not funding. The G-37/(DAMO-FMP) will update the PEGs in December on all approved concept plans since the previous POM review. The Command Plan process (February - June of each year) normally documents the Army force two years out, with exceptions being granted to document one year out by exception and reviews all approved concept plans for implementation compliance.

b. Again, the outcome from the successful submission and approval of a proposed concept plan is that the organization/unit's requirements are approved and that the organization/unit is positioned to compete for resourcing against the Army's priorities.

## 6. Way Ahead

As TDA centralized documentation matures the key to success is increased standardization and efforts to support the development and validation of models that are responsive to mission and workload change. These two initiatives will decrease the number of concept plans and will apply a systematic approach to TDA organizational design similar to the MTOE's force design update. Standardization within the MACOM TDAs and across the Army is needed from TRADOC training units to IMA's standard garrison design. The ASA M&RA and USAMAA must review and approve the use of models such as the Structure Manning Decision Review (SMDR) and USACE's proposed new manpower model, the Corps of Engineers Manpower Requirements System (CEMRS) that can be applied directly to the documentation process. The results of HQDA approved models would then be used in the requirements determination process. As an interim measure Generating Force panels in coordination with USAMAA will review and recommend approval models in their functional area for use in Command Plan to the Army G-3 and ASA M&RA. As HQDA provides more guidance and oversight to manpower requirements it is expected that thresholds addressing contract requirements will be developed.



## ANNEX B: Concept Plan Preparation

The concept plan will be prepared in the following format (one hard copy and electronics version) and submitted through MACOM headquarters or appropriate command channels to HQDA, ODCS G-3 (DAMO-FMP). An abbreviated concept plan can be submitted per AR 71-32 guidance.

1. Subject. (Short, descriptive title of the action, which includes the name of the proponent MACOM or HQDA staff agency and unit.)
2. Purpose.
  - a. Reason for proposing the concept plan (i.e., correction of deficiency, new requirement, restructuring, etc.)
  - b. New or existing HQDA directed mission or policy, or MACOM/Agency initiative that is the basis for the Concept Plan.
  - c. The threshold event that requires submission of the concept plan.
  - d. If implementation of the concept plan is contingent on receiving additional resources from HQDA.
3. Methodology: Brief discussion on how the concept plan will be executed. Detail measurable efficiencies and improved capabilities resulting from the concept plan. Include an organizational efficiency review or a business process review if completed.
4. Manpower Analysis: Method used to determine existing and proposed requirement. (HQDA Manpower survey, MACOM delegated manpower requirements certification authority, or a logical justification for manpower requirements). If a manpower survey was not the basis of analysis, state that a follow-up manpower survey will be conducted once the command/organization stands up. The concept plan should contain sufficient workload data to ensure the requested requirements are for expanded and authorized missions
5. Summary of Changes. State how the changes will be resourced, if known. If there are no bill payers the requirements outlined in the concept plan will still be reviewed. Once the concept plan is approved by HQDA it will form the basis for requesting resources through either the Total Army Analysis process or the POM process.
  - a. Personnel.
    - (1) Military. Is it an inherently military function? Identify internal MACOM bill-payers. Can the MACOM resource the bill? Are the military authorizations competing in the Total Army Analysis process for resourcing?



(2) Reserve Component Military. Reserve component soldiers from the ARNG and the USAR must be addressed and the particular categories impacted. For example Full Time Support (FTS) soldiers must be addressed.

(3) Civilians. Identify internal MACOM bill-payers. Justification for additional civilian requirements

(4) Contractors. Is it an inherently governmental function? What is the cost? Provide comparison for using Department of the Army Civilians instead.

(5) Controlled Programs. Address impacts.

(6) Paragraph and line list of proposed personnel conversions (e.g., civilian to military, military to civilian, etc.).

(7) DoD Manpower Mix Criteria and Function.

b. Equipment (controlled items) and additional equipment required.

c. Facilities requirements (by funded project and FY programmed). It is important to provide some assessment of facilities needed to support the concept plan and how those facilities will be funded. If current facilities will be used then a statement to that effect should be added. If it is unknown what facilities might be needed, please state the requirements as best known and ACSIM will help develop requirements.

d. Appropriation funding requirements, status of funding availability and any known/expected shortfalls.

e. Organizational or standardization impact. Discuss any deviation from organizational or standardization policy /guidance.

f. Recommended E-DATE and justification.

g. Readiness impact. Identify any impact on the operational force.

h. UICs and names of units affected.

i. Identification of thresholds in AR 5-10 that will be breached, as appropriate. If there is a stationing issue, then a stationing proposal is required as an enclosure.

j. Known or possible political sensitivities that should be made known to the ARSTAF.

k. Name, office symbol, and DSN number of the point of contact.



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6. List of supporting enclosures.

a. For major reorganizations include the proposed TAADS document (Sections I, II, III, IIIS) for each affected organization.

b. Spreadsheet with manpower para/LIN level of detail crosswalk from the latest approved TAADS document to the proposed structure.

c. Spreadsheet with equipment para/LIN level of detail crosswalk from the latest approved TAADS document to the proposed structure.

d. Requests for assignment of UIC (if applicable). The existing UIC will be used unless a new organization is created. The following information is required to request a new UIC:

(1) Proposed Unit Designation.

(2) Proposed EDATE.

(3) Command Assignment.

(4) Component.

(5) Proposed TPSN and EL-SEQ if applicable.

(6) Specific Location (e.g., Camp Red Cloud, Republic of Korea).

(7) Mission statement. Brief description to aid in assignment of TPSN.

e. Start and End spreadsheet. This spreadsheet provides a summary of all changes (additions, deletions, transfers, etc.) that are taking place in the concept plan by UIC/Unit Name/E-date/ personnel structure (OFF/VO/ENL/CIV/Agg by MDEP and AMSCO)